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FILE: O/PPB
OFFICE OF THE DD/I
Approved For Release 2006/02/01 : CIA-RDP80B01495R000300030001-3 33-2

DATE: 19 Dec 1968

TO: Mr. Procter

FROM: Karl

SUBJECT: Report for BOB and Congress on
Research Grants and Contracts

REMARKS:

John Clarke has asked that we
submit data to O/PPB in accordance
with the criteria in para 4, by
15 January 1969.

I have passed a copy to
 for action.

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MEMORANDUM FOR: Deputy Director for Intelligence
Deputy Director for Plans
Deputy Director for Science and Technology
Deputy Director for Support

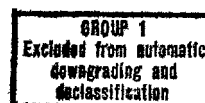
SUBJECT: Congressional Interest in Contracts for
External Research

1. Forwarded herewith (Attachment A) is Bureau of the Budget Bulletin No. 69-8 which conveys Senator Mansfield's request that all Federal agencies submit data on research grants and contracts obligated in Fiscal Year 1968. The Bulletin is self-explanatory and you will note that material provided may be published in some open record. Since our contractual relationships with external contractors is privileged information and the topics of research classified, we have sought and received Bureau of the Budget understanding that we will not comply with the terms of the Bulletin, but will through our own Senate sub-committee indicate willingness to provide the data for Senator Mansfield's information.

2. We have discussed this matter with Senator Russell's office and received the suggestion that we submit the information as if it were going to Senator Mansfield but forward it instead to our Senate sub-committee staffs where it will be securely handled and made available to Senator Mansfield.

3. In view of our limited compliance, we are taking some liberties with prescribed format. Specifically we intend to delete the name of our principal point of contact or project officer within the contractor organization, i. e., the identity of the "principal investigator" called for in para 4b(2). We will express the title of the contract 4b(3) in terms of the purpose or product of the research. Additionally, only one listing rather than two will be submitted.

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4. In deciding what contracts are to be reported we will be guided by the attached BOB Circular. Basic and applied research is to be reported, but you will note that development contracts are excluded. In the last analysis we will have to rely on your judgment as to where to draw the line between basic and applied research, as opposed to development. Many of our contracts commence with applied research and are extended in subsequent years into development tasking. As an assist in determining what contracts to report, the BOB Circular asks departments to use definitions of research developed by the National Science Foundation which are quoted below for your guidance:

a. Research is systematic, intensive study directed toward fuller scientific knowledge or understanding of the subject.

In basic research the investigator is concerned primarily with gaining a fuller knowledge or understanding of the subject under study.

In applied research the investigator is primarily interested in a practical use of the knowledge or understanding for the purpose of meeting a recognized need.

b. Development is the systematic use of the knowledge and understanding gained from research directed toward the production of useful materials, devices, systems, or methods, including design and development of prototypes and processes. It excludes quality control, routine product testing, and production.

5. With respect to the DD/I and DD/S&T much of the data required to meet this requirement has been assembled in the recently completed Special Study on Research & Analysis; however, per the terms of reference provided by the BOB for this study we listed only those contracts (11 in the DD/I and 32 in the DD/S&T) which produced a research product directly related to finished intelligence production responsibilities. While these contracts are to be reported in response to this requirement, they by no means constitute a full listing of our external contracts for research as defined in para 4 above.

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6. Utilizing the attached format for your submissions, it is requested that the data indicated be submitted to the Office of Planning, Programming and Budgeting (Attn: Mr. Ben Evans) no later than 15 January 1969 so that we may be prepared to meet the 1 February 1969 deadline for submission to Senator Mansfield. The assembled data will be conveyed to our Senate sub-committees with a covering letter signed by the Director emphasizing the sensitivity of the material and the caveats with respect to further distribution. I will coordinate the substance of this letter following your response to this memorandum.



John M. Clarke
Director of Planning,
Programming, and Budgeting

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Attachments:

BOB Circular
Format for Listing

cc: Legislative Counsel

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ATTACHMENT A

Approved For Release 2006/02/01 : CIA-RDP80B01495R000300040033-2
EXECUTIVE OFFICE OF THE PRESIDENT
BUREAU OF THE BUDGET
WASHINGTON, D.C. 20503

BULLETIN NO. 69-8

December 3, 1968

TO THE HEADS OF EXECUTIVE DEPARTMENTS AND ESTABLISHMENTS

SUBJECT: Listings of Federal Government contracts and grants for the support of research

1. Purpose. To comply with a request of Senator Mansfield, this Bulletin requires the listing of research contracts and grants and the submission of those listings by February 1, 1969.
2. Background. This request is related to congressional interest in the kinds and cost of research and development being supported by various Federal agencies and in the executive branch's arrangements for reviewing and managing the federally sponsored R&D efforts. It is understood that the listings may be published.
3. Definitions. The listings required by this Bulletin are to include contracts and grants for both "basic" and "applied" research but are to exclude those covering development. Definitions of "research" developed by the National Science Foundation for collection of information published in Federal Funds for Research, Development, and Other Scientific Activities should be used in determining whether or not a particular project is to be reported.

4. Reporting instructions.^{1/}

a. Coverage. The information listed in subparagraph b. below, is to be supplied for:

(1) Each research contract and grant awarded during fiscal year 1968, and

(2) Each instance where additional funds were obligated in fiscal year 1968 under a research contract or grant awarded prior to fiscal year 1968 (e.g., multiple-year contracts where funds are added annually).

^{1/} Instructions in subparagraph 4 a. through d. do not apply to Department of Defense which is reporting separately.

b. Content. The following information is to be supplied by each agency for each research contract or grant:

- (1) Organization receiving the contract or grant
- (2) Name of the principal investigator
- (3) Title of the contract or grant
- (4) Funds obligated in fiscal year 1968
- (5) Period covered by the obligations if longer than one year

c. Format. Two complete listings are to be supplied:

(1) Listing by organization and principal investigator. This listing should show all contracts and grants according to:

(a) Type of organization: industrial, educational, State government agencies, other public agencies, other Federal agencies, other nonprofit organizations, and foreign.

(b) Name of organization: under each type of organization, list alphabetically the organizations or institutions receiving the contract or grant. Show also the total funds involved in fiscal year 1968 for each organization.

(c) Principal investigator: under each organization, list alphabetically the principal investigator for each contract or grant.

(2) Listing by field of science. This listing should also show all research contracts and grants and be organized and indexed by field of science. (The field of science classification system now in use by the reporting agency may be used.) This classification should be as definitive as permitted by the agency system but generally no more definitive than that used in the latest questionnaire for the NSF "Federal Funds" series. Within each field of science, contracts and grants should be listed by organization (alphabetically) and by principal investigator (also alphabetically). The indexing system should be described in the cover letter used to forward the agency listings.

(See Exhibit A for sample formats.)

d. Classified projects. If listing of information of the type specified above on any particular contract or grant would constitute classified information, those projects are to be listed separately, marked with the appropriate security classification, and controlled accordingly.

e. Copies of the listings. One copy of each listing is to be addressed to Senator Mansfield and mailed or delivered to Room S-118, in the Capitol and one copy should be sent to the Director, Bureau of the Budget, Attention: Economics, Science and Technology Programs Division. Both copies should be delivered on or before February 1, 1969.

5. Agency contacts. Each department and agency supporting research under contracts or grants is to notify the Bureau of the Budget by phone (Code 103, ext. 4904, or 395-4904) by December 16, 1968, of the name of the agency official responsible for this project.

CHARLES J. ZWICK
Director

Attachment

EXHIBIT A
Bulletin No. 69-8

Sample Formats for Listings

AGENCY IDENTIFICATION

<u>Organization and principal investigator</u>	<u>Project title</u>	<u>FY 1968 obligations</u>	<u>Period cov- ered (if more than 1 year)</u>
1. <u>List No. 1 (paragraph 4.c.(1))</u> .			
Industrial organizations:			
ABC Company		\$9,275,000	
Adams, John	Title of 1st project	\$500,000	2 yrs.
	Title of 2nd project	\$375,000	
(then list other investigators in this company)			
	* * *		
BCD Company, etc.	* * *		
Educational institutions:			
Alpha University			
etc.			
2. <u>List No. 2 (paragraph 4.c.(2))</u> .			
Chemistry:			
ABC Company		\$1,075,000	
Adams, John	Title of 1st project	\$ _____	2 yrs.
	Title of 2nd project	\$ _____	
(then list other investigators)			
BCD Company, etc.			

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